

MLS Performance Management and Performance-based Pay

New Inside!

FY06-FY07
PEP Handbook

Updated Timeline
-inside cover
Calibration Checklist for
Reviewing Officials-
Page 11

Montgomery County Government
Office of Human Resources
Executive Office Building, 7th Floor
Rockville, MD 20850



PERFORMANCE MANAGEMENT/PAY FOR PERFORMANCE CHECK LIST

Performance Evaluation for Fiscal Year 2006:

✓		<u>Critical Dates</u>
_____	Determine appropriate rating for each performance expectation (Parts I and II), or include an explanation of why no rating was possible at this time.	Begin May 2006
_____	Develop a narrative statement explaining the rationale for each rating.	
_____	Note the progress toward accomplishing career development goals.	
_____	Determine an overall rating that is consistent with the ratings given on the individual expectations.	
_____	Submit the draft appraisal to the reviewing official <u>prior</u> to sharing it with the employee (where the reviewing official is not the CAO).	
_____	Conduct a meeting with the employee to discuss performance ratings.	
_____	Offer the employee an opportunity to add their comments to the performance rating document.	
_____	Obtain necessary signatures from supervisor, reviewing official, and employee (the employee should be the last to sign the finalized document).	June
_____	Distribute copies to the employee, the departmental operating file, and the supervisory file.	August 30
_____	Conduct an informal audit for compliance. (See check list at end of publication)	August 30
_____	Send Official record copy to OHR (Cristina Kirkbride, EOB 7th Floor)	

Performance Based Pay Recommendations for Fiscal Year 2006:

✓		<u>Critical Dates</u>
_____	Develop and submit pay award recommendations to the department director.	June 1, 2006
_____	Department Director enters rating(s) and recommended pay award(s) into tracking database.	June 15, 2006
_____	<ul style="list-style-type: none"> OHR submits all department recommendations to the CAO*for authorization/ approval. 	June 30, 2006
_____	Notice of CAO* approval/disapproval returned to department directors.	July 7, 2006
_____	Meet with employees to discuss pay awards.	July 10, 2006
_____	<ul style="list-style-type: none"> Pay awards/increases, effective July 10, 2006, are reflected in pay checks (For pay period ending July 21, 2006). 	August 4, 2006

Performance Planning for Fiscal Year 2007:

✓		<u>Critical Dates</u>
_____	Complete an annual performance plan which includes jointly established and clear career development goals, expectations, outcomes, etc. Use the most recent version of the MLS performance planning form. Form is available at http://www.montgomerycountymd.gov/content/ohr/ResourceLibrary/files/pay4perf.doc	July 30, 2006
_____	Ensure that performance expectations describe what's expected to achieve a rating of "successful performance."	
_____	Include the appropriate signatures (by employee and supervisor) to formally establish the performance plan.	
_____	Distribute copy to employee (within 30 days) and supervisor (keeps original in supervisory file).	August 30, 2006
_____	Provide on-going observation/monitoring and documentation with feedback throughout fiscal year.	July 2006-June 2007
_____	*Approval authority is delegated to the Office Directors in the Legislative Branch	

CONTENTS

Checklist.....	(inside cover)
MLS Performance Management Basics.....	1
Performance Ratings Definitions.....	7
MLS Performance-Based Compensation Matrix.....	8
MLS Salary Schedule.....	9
Common Rating Errors.....	10
Calibration Check List for Reviewing Officials.....	11
PEP Form Compliance Audit Highlights.....	12
Compliance Check List.....	13
Appendix 1, PEP Form (with competency definitions).....	14
Whom to Call.....	(inside back over)

MLS PERFORMANCE MANAGEMENT

Awarding Management Leadership Service (MLS) employees' performance-based pay is the conclusion of a performance management process that has occurred throughout the fiscal year using good performance management practices. This standardized process, PEP or Planning for Excellence in Performance, ensures a high level of consistency for all MLS employees. A copy of the form is provided in the appendix.

The information contained in this booklet will assist managers in making the most of this process. Technical requirements are covered in Section 10, Compensation, and Section 11, Performance Planning and Evaluation, Montgomery County Personnel Regulation.

Overview

Performance management should be viewed as a continuous process of improvement. Fundamentally, the performance management process is continuous cycle, comprised: planning, observation, documentation, and feedback, and evaluation. Performance management is an interactive process wherein MLS employees are expected to actively participate in their personal performance management activities, which may include developing performance expectations, maintaining and providing work samples and providing a record of accomplishments.

Planning

The performance management process begins with planning. Planning refers to the process of establishing a performance plan which includes establishing clear performance expectations and career development goals for the given review period. All MLS performance plans are based on a performance review period linked to the Fiscal Year. The planning process should be a two-way dialogue between the MLS employee and their supervising manager. MLS performance plans consist of mandatory goals, position specific performance goals and targets, MLS competencies, and one or more career development goals. The combination of expectations establishes **how** results are to be achieved, as well as **what** results are desired. All performance plans should be clearly aligned with the County and department vision, mission and strategic plan, which support the “**why**” of performance. At a minimum, performance expectations describe performance at the Successful level. OHR also recommends that all managers review the Calibration Checklist for Reviewing Officials on page 11, to ensure that the plan is in compliance.

Where there are significant shifts in departmental and or team objectives, performance plans should be updated to reflect current expectations and initiatives.

Observation, Documentation, and Feedback

Observation and documentation refers to making note of observable behaviors/results that indicate whether an employee's performance is on track. Feedback refers to the ongoing communication between a supervisor and employee regarding the employee's observed performance or behaviors. The result of providing effective feedback is a clear understanding of an employee's progress toward, or challenges in, meeting established goals.

Evaluation

Evaluation refers to the formal, review and written assessment of an employee's performance in relation to the performance plan. The assessment should be discussed with an employee, and should outline the employee's performance on each performance expectation and/or development goal, as well as provide an overall rating of their performance. Ideally, this formal evaluation should contain no surprises. It should simply summarize previous feedback given throughout the reviewing period.

Substance of a Performance Plan

Mandatory MLS Goals

Each manager is accountable for two mandatory goals: 1) compliance with the County's EEO and anti-discrimination policies; and 2) conducting performance planning and evaluation with their subordinate staff. During performance planning and evaluation, managers should discuss with their supervising manager the opportunities and challenges they face in addressing each of these goals.

EEO

Managers' responsibilities in relation to equal employment opportunity extend beyond hiring/promotional decisions. Managers are also responsible for: providing training to employees on EEO policies, promoting a workplace free of harassment and discrimination through appropriate supervision and management, and responding to employees' complaints of harassment/discrimination. A manager's rating in this area should reflect the level of commitment and thoroughness with which they comply with these responsibilities.

Performance Management

Each manager is responsible for performance planning and evaluation with the staff they supervise. Their rating in this arena should be based on the extent to which they:

- Comply with established procedures and guidelines;
- Set effective goals and expectations;
- Provide supervision and guidance;
- Manage performance related problems; and
- Assess progress toward achieving satisfactory performance.

Consideration should also be given to the consistency and the accuracy of applying performance management concepts among their team(s).

Performance Goals with Targets

Performance goals and targets describe the quality and quantity of performance at the successful level in reasonably objective terms. Goals should be specific, measurable, achievable, relevant, and tractable (SMART). This goal format outlines the desired results and outcomes expected, that is, the "**what**" of performance.

Competencies

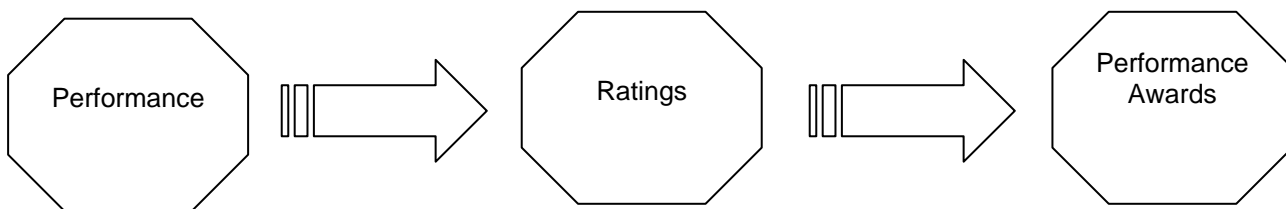
Competency performance expectations blend the knowledge, skills, and behaviors demonstrated by the successful employee. They emphasize the “**how**” in performance. All MLS performance plans must include the competencies listed on the MLS form. Also see Attachment 1, PEP Form.

Career Development Goals

Employee development is a responsibility shared by the supervising manager, MLS employee, and the County. The MLS employee should assume the primary responsibility for his or her own development. The MLS supervisor should provide feedback and support necessary to facilitate attainment of the career development goal and the MLS employee’s development. The County will continue to provide a learning environment and systems to support the development process.

Each performance plan should outline career/professional development goals for the upcoming fiscal year. Goals may include skill development and experiential learning designed to prepare for promotional opportunities or to enhance and enrich current responsibilities.

Making Compensation Recommendations



Rating Performance

It is important to remember that in an effective performance-based pay system, performance drives ratings which in turn drive pay recommendations. Selecting an overall performance rating that accurately reflects the demonstrated performance in job specific expectations/goals and competency areas will help to ensure the equity and efficacy of performance accountability within the County. It will also provide MLS employees with an accurate picture of their performance and helps to identify areas for continued skill development.

The definitions of each rating category as contained in Section 11, Performance Planning and Evaluation of the Montgomery County Personnel Regulations, are listed in Performance Rating Definitions. Use these definitions for determining the rating of each separate goal, competency and the overall rating.

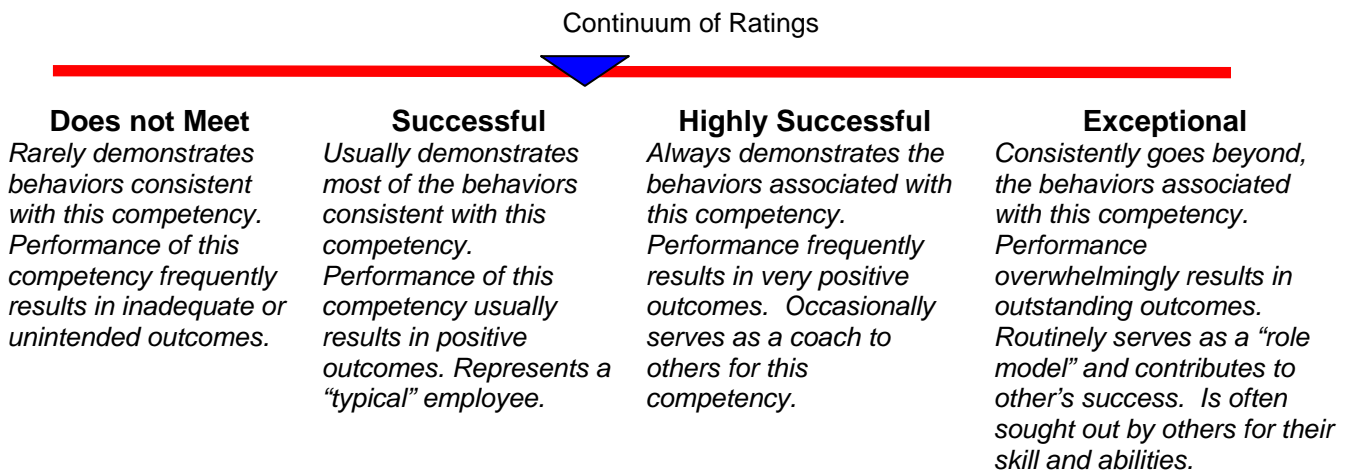
Rating Performance Goals with Targets

Prior to rating performance goals, supervising managers rating MLS employees should review work samples, notes, feedback from all available sources, information provided by the MLS employee and the rating category descriptions. The next step is to compare available information with the performance target established in the plan and provide an appropriate rating.

Rating Competencies:

Employees should be rated on how frequently and successfully they demonstrate the behaviors associated with the competency performance standard. Managers should review notes, feedback from multiple sources, and documentation collected over the entire course of the review period to avoid recency bias or giving undue weight to an isolated event.

Applying the Rating Categories to Competencies*



*See Performance Rating Definitions, for complete definitions.

Career Development Goals

As part of the performance evaluation, note the MLS employee's progress toward achievement of that goal. This goal is not to be rated.

Comments/Narratives

A narrative summary is required. Narrative comments can be focused on a specific goal or expectation or can be more general in nature. Including narrative comments as part of a performance evaluation offers an opportunity to more fully explain observations, insights and/or concerns relative to a specific element or expectation of performance.

Overall Rating

Prior to determining the overall rating, re-read the rating category descriptions and look at the distribution of ratings for the individual elements. Please be aware that a rating of Does not meet expectations (DNME) on any single performance expectations disqualifies the individual for an overall rating of Highly Successful or Exceptional. Also, review the list of potential rating errors (see Common Rating Errors) which lists a variety of bias factors that may affect objectivity. The overall rating should reflect the employee's performance and be consistent with the ratings on individual elements.

The overall rating is used to determine the MLS employee's eligibility for performance-based pay. A pay matrix (Performance Based Pay Compensation Matrix) is included to describe what an employee may be awarded based on rating and position in the pay band.

Pay award recommendations are **not** provided to the MLS employee at this time. Approximately 60 days prior to the end of the fiscal year, OHR will send departments information on processing compensation recommendations and a schedule for pay recommendation implementation.

Employee Comments

MLS employees must be given an opportunity to add or attach comments. While no time limit is specified for providing comments, 15 days is reasonable. An employee's requests for re-consideration of an evaluation must be submitted within 15 calendar days after it is finalized with supervising manager and Reviewing Official signatures.

Reviewing Official

Prior to meeting with the employee, a manager should forward the draft of the evaluation document to the Reviewing Official—usually the next higher level of management or department head. The role of the Reviewing Official is to review the PEP for procedural compliance and resolve disagreements between the employee and immediate supervisor. The Reviewing Official may not change any rating. The Reviewing Official should, however, discuss his/her concerns with a rating with the immediate supervisor while the PEP is in draft form and prior to employee review. No modifications may be made to the form or attachments after the employee has signed the form unless the employee is notified and given an opportunity to comment. (This step is not applicable where the rater or Reviewing Official is the Chief Administrative Officer (CAO)).

Reviewing Officials play an important role in promoting rating consistency and fairness across the organization unit. In addition to reviewing ratings across supervisor for consistent application of the rating categories, they can conduct discussions with their management team to develop consensus understanding of each rating level. OHR recommends that Reviewing officials use a technique called calibration. Calibration involves comparing ratings across employees in the department or agency. A checklist has been provided on page 11 to facilitate this process.

Administrative Requirements

Once an evaluation is completed and necessary signatures have been obtained copies must be distributed to the MLS employee, supervising manager, department files, and Office of Human Resources (OHR). To facilitate compliance with Section 11 of the personnel regulations, a Compliance Checklist has been included for your convenience (see page 12)

A memorandum will be sent to each department approximately sixty days prior to the end of the fiscal year to provide specific directions on processing performance based awards. Pay award recommendations must be sent to the department head and not discussed with the employee until such time as the award has been approved by the CAO in the Executive Branch or Office Directors in the Legislative Branch.

Continuous Improvement

Overall effectiveness of PEP is enhanced when managers practice good performance management practices. A *Performance Management Guide for Supervisors* posted is on the HR Resource Library (<http://www.montgomerycountymd.gov/content/ohr/ResourceLibrary>), and provides an overview of the entire performance management cycle.

A variety of training classes and opportunities are also available to MLS. MLS members should also participate in all of the following mandatory classes:

- Planning for Excellence: Performance Management Basics
- Linking Pay to Performance
- EEO/Diversity Management
- Maintaining a Safe Work Environment
- Leadership Institute

Additional Resources and class schedules are posted at the HR Resource Library or can be obtained by calling 240.777.5122.

PERFORMANCE RATINGS DEFINITIONS

Section 11, Performance Planning and Evaluation, Montgomery County Personnel Regulations

Rating Label	Definition
Exceptional Performance Section 11-7i(1)A-C	This rating indicates that the employee: consistently achieved additional, significant results beyond established targets; achieved a higher level of quality than required; <u>was a role model in the demonstration of competencies</u> ; and was rated “Exceptional Performance” on the majority of performance expectations and standards. Performance at this level is clearly unique and rarely attained. A supervisor must use this rating only if the employee performed at a higher level relative to most other employees performing comparable work. A supervisor must not give an overall rating of “Exceptional Performance” to an employee who received a rating of “Does Not Meet Expectations” on any single expectation.
Highly Successful Section 11-7i(2)A-B	This overall rating category indicates that the employee: achieved all critical results at or beyond established targets, achieved a high level of quality, consistently and effectively demonstrated the competencies and was rated as having “Highly Successful Performance” on the majority of performance expectations and standards. A supervisor must not give an overall rating of “Highly Successful” to an employee who received a rating of “Does Not Meet Expectations” on any single expectation.
Successful Section 11-7i(3)A-B	This overall rating category indicates that the employee: met the majority of performance standards and expectations; achieved a majority of results and demonstrated most competencies successfully; and may occasionally exceed expectations. A Supervisor must give an overall rating of “Successful Performance” to an employee with good solid performance. This rating is appropriate for most employees.
Does Not Meet Expectations Section 11-7i(4)A-C	This overall rating category indicates that the employee has not met the basic requirements of the job as evidenced by: receiving a rating of “Does Not Meet Expectations” on a majority of the performance expectations and standards listed in the performance plan; or failing to produce one or more key results, demonstrating competencies infrequently or ineffectively, or both. An employee who receives this rating has failed to perform the assigned duties on an on-going basis in an acceptable and competent manner. If the supervisor gives an employee this rating, the supervisor must counsel the employee on what corrective action to take and allow the employee adequate time to improve or correct performance.

MLS PERFORMANCE BASED COMPENSATION MATRIX

Section 10-10, Performance-based Pay, Montgomery County Personnel Regulations

Eligibility For Compensation Under Performance Based Pay			
	If employee's salary is below 90 percent of pay band	If employee's salary is at or above 90 percent of pay band	If employee's salary is at top of pay band
Exceptional Performance	Employee receives a general wage adjustment when granted to other unrepresented employees and is eligible for an addition to base salary and/or a lump-sum award. The total of the addition to base salary and lump-sum award must not exceed 6 percent of base salary.	Employee receives a general wage adjustment when granted to other unrepresented employees and is eligible for an addition to base salary and lump-sum award. The total of the addition to base salary and lump-sum award must not exceed 4 percent of base salary.	Employee receives a general wage adjustment when granted to other unrepresented employees and is eligible for a <u>lump-sum</u> award not to exceed 4 percent of base salary.
Highly Successful	Employee receives a general wage adjustment when granted to other unrepresented employees and is eligible for an addition to base salary and/or lump-sum award. The total of the addition to base salary and lump-sum award must not exceed 4 percent of base salary.	Employee receives a general wage adjustment when granted to other unrepresented employees and is eligible for an addition to base salary and/or a lump-sum award. The total of the addition to base salary and lump sum award must not exceed 3.5 percent of base salary.	Employee receives a general wage adjustment when granted to other unrepresented employees and is eligible for a <u>lump-sum</u> award not to exceed 3.5 percent of base salary.
Successful	Employee receives a general wage adjustment when granted to other unrepresented employees and is eligible for an addition to base salary and/or lump-sum award. The total of the addition to base salary and lump-sum award must not exceed 3.5 percent of base salary.	Employee receives a general wage adjustment when granted to other unrepresented employees and is eligible for a <u>lump-sum</u> award not to exceed 2 percent of base salary.	Employee receives a general wage adjustment when granted to other unrepresented employees and is eligible for a <u>lump-sum</u> award not to exceed 2 percent of base salary.
Does Not Meet Expectations	Employee is not eligible for a general wage adjustment or performance-based pay.	Employee is not eligible for a general wage adjustment or performance-based pay.	Employee is not eligible for a general wage adjustment or performance-based pay.

Color Key	GWA, addition to base salary and/or lump sum award.	GWA and <u>Lump sum</u> award only.	Not eligible for any type of increase.
-----------	---	-------------------------------------	--

MLS SALARY SCHEDULE

FISCAL YEAR 2006

GRADE	LEVEL	MINIMUM	CONTROL POINT	MAXIMUM
M1	Management Level I	\$74,656	\$126,806	\$132,599
M2	Management Level II	\$65,283	\$113,190	\$118,513
M3	Management Level III	\$56,085	\$97,870	\$102,512

EFFECTIVE July 10, 2005

A 3% adjustment has been recommended for FY07. Awards will be based on the FY07 schedule.

COMMON RATING ERRORS

Commonly reported rating errors are listed below. Awareness of possible bias factors improves objectivity.

1. Errors related to employee characteristics:

- **Stereotyping errors:** allowing the employee's personal views, personality, appearance, race, religion, age, handicap, sex, marital status, pregnancy, parenthood or any other non-merit factor to influence the rating.
- **High potential effect:** translating an employee's abilities or attitudes that are not related to his/her present job into a higher or lower evaluation rating than actual performance justifies.
- **Mentor effect:** overestimating the quality of performance of employees who were trained by the supervisor and underestimating the performance of those who were not.
- **Maverick effect:** giving a lower rating because the individual is a nonconformist or frequently disagrees with the supervisor.
- **Guilt by association error:** giving a lower or higher rating because the employee associates with a particular group or works with others with less satisfactory performance.
- **Compatibility effect:** rating an employee higher because of similar age, background, education, attitude, etc.
- **No news is good news error:** rating an employee higher just because no one has complained about him or her (recently).

2. Errors related to supervisor characteristics:

- **Blind spot error:** ignoring a particular deficiency because it mirrors a weakness of the supervisor.
- **Self-comparison error:** rating an employee who holds the supervisor's previous job lower because he or she does the job differently.
- **No conflict error:** giving a high rating because of reluctance to provide frank and honest performance feedback or to avoid follow through with appropriate personnel actions.
- **Appearance worry:** giving high ratings because of a desire to "look good" or avoid looking like a bad supervisor.
- **Unrealistic expectations:** Rating employee against personal standards and not requirements of the job

3. Errors in the assignment of rating categories:

- **Leniency/stringency effect:** giving an extreme rating to all performance guidelines because of failure to differentiate levels of performance for each performance guideline.
- **Central tendency error:** rating all individuals in the middle of the scale. It adversely affects the particularly good performers while being overly generous to the poor performers.
- **Situational error:** over or under-compensating for extenuating circumstances.
- **"Company policy" effect:** allowing perceived pressure from higher management to control rating distributions.
- **Recency effect:** allowing a recent incident to unduly influence ratings.
- **"Not my job" error:** holding the employee accountable in the ratings for results beyond his or her control.
- **Halo effect:** rating an employee excellent on one quality, which in turn influences other ratings.
- **Inadequate information:** performance guidelines too general, did not accurately reflect the successful level of performance, or did not accurately fit the responsibilities. Error may also include inaccurate or insufficient information and/or documentation.
- **Assumption errors:** confusing facts with inferences and making erroneous assumptions.

CALIBRATION CHECKLIST FOR REVIEWING OFFICIALS

The role of a Reviewing Official is to review the draft written performance evaluation before the supervisor shares it with the employee. Reviewing Officials cannot change the rating. Any concerns should be addressed in discussions with the immediate supervisor during this step. Reviewing Officials should ensure that:

- Each individual overall rating is consistent with the with the ratings for individual elements of the plan as well as the rating justification descriptions;
- Overall ratings are consistent with the measures being used across the department or agency; and
- The supervisor has complied with the Personnel Regulations and any department procedures.

OHR recommends that Reviewing officials use a technique called calibration to ensure managers and supervisors are applying measures consistently and in a fair and equitable manner across the organizational unit. Calibration involves comparing ratings across employees in the department or agency. The checklist below will assist you in using the calibration technique effectively.

1. Identify the measure being used by asking the following questions:

- ☐ Is the measurement clear and focused to avoid misinterpretation?
- ☐ Can the measure be quantified and compared to other data?
- ☐ Is the measure achievable, reasonable, and credible under conditions expected?
- ☐ Does the measure fit into the organization's constraints? Is it cost-effective?
- ☐ Is the measurement doable within the time frame given?

2. Use the quality, alignment and reality tests to find out if the measurement is being evaluated consistently across the department or agency:

The **Quality** Test

- ☐ Were there objective measures for the specific expectation or competencies?
- ☐ Does the measurement include a clear statement of the end results expected?
- ☐ Are the measures challenging, but at the same time, attainable?
- ☐ Have those whose performance is being measured had the opportunity to be fully involved in the development of the measurements?
- ☐ Was performance evaluated against specific expectations or behavioral indicators, which are targeted or desired level of performance?
- ☐ Were evaluations held at the end of the performance cycle?

The **Alignment** Test

- ☐ Do the measures align behavior and specific expectations with strategy and or mission, and focus the department or agency on its priorities?
- ☐ Do the measures identify gaps between current status and performance aspirations, thereby highlighting performance opportunities?
- ☐ Are the major programs and major components of the program covered?
- ☐ Are there comparisons of employees' who are performing the same or similar work?
- ☐ Is the pay recommendation consistent with the overall rating and is the overall rating consistent with the evaluation?
- ☐ Do all direct reports have a plan?

The **Reality** Test

- ☐ Reviewing Officials should meet with their managers and supervisors annually in order to gain a common understanding of how performance is being measured and evaluated. Managers and supervisors should bring a sampling of PPE forms representative of the total group of employees they supervise. Discussions during the meetings should be treated as confidential.

PEP FORM COMPLIANCE AUDIT HIGHLIGHTS

Each year, the Office of Human Resources (OHR) conducts a compliance audit to determine the level of compliance with key requirements of the MLS performance management process. The audit looks at the level of compliance on the mandatory elements of Section 11, Performance Planning and Evaluation, Montgomery County Personnel Regulations.

In general, managers have been most successful implementing the procedure in the following areas:

- Developing individual specific performance expectations
- Obtaining signatures on performance evaluations.
- Including mandatory goals -- requirements to conduct performance planning with subordinate employees and to comply with anti-discrimination and other EEO guidelines.
- Including an overall rating which is consistent with the ratings on individual performance expectations
- Rating all performance expectations including competencies (behavioral competencies)
- Writing narrative comments in addition to ratings for all behavioral competencies

Areas requiring additional attention:

- Sending completed PEP forms to OHR by August 30 to be included in the annual audit and official file.
- Establishing the performance plans on a timely basis – The policy requires performance plans to be established within 30 days of the beginning of the fiscal year or within 45 days of placement into the Management Leadership Service (MLS). PEP forms often do not include dates or signatures to indicate the establishment of the plan.
- Identifying career development goals – Including at least one career development goal and identifying progress toward its achievement.
- Conducting and documenting progress discussions.

To assist managers in improving compliance, a Compliance Check List has been included. All managers are strongly encouraged to use this list prior to sending the completed evaluation to OHR.

COMPLIANCE CHECKLIST

Use the items below to ensure that all mandatory requirements have been satisfied prior to sending the official copy to the Office of Human Resources.

PLANNING ACTIVITIES

- ☐ Plan established within the first 30 days of the new review period for existing employees (or was established within 45 days of new hire MLS placement (determined by signature dates)
- ☐ Performance expectations (goals) describe performance at the successful level
- ☐ Requirement to conduct subordinates' performance plans/evaluations is included as a performance expectation
- ☐ Requirement to comply with anti-discrimination and other EEO requirements is included as a performance expectation
- ☐ At least one career development goal was established
- ☐ Plan establishment documented with manager and employee signatures

MID-YEAR PROGRESS DISCUSSION (optional)

- ☐ Progress discussion documented with manager and employee signatures
- ☐ Substantive discussion items documented
- ☐ Substantive changes to plan and expectations documented

EVALUATION ACTIVITIES

- ☐ Overall rating indicated on cover page
- ☐ All expectations in Part 1 were rated (N/A may also be indicated)
- ☐ All competencies in Part 2 were rated
- ☐ Written comments by manager included
- ☐ Progress toward achievement (s) on career development goal noted
- ☐ Final Evaluation documented with Manager signature and date
- ☐ Final Evaluation documented with Employee signature and date
- ☐ Final Evaluation documented with Reviewing Official signature and date (as applies)
- ☐ Employee included comments on the evaluation (optional)

APPENDIX 1: PEP (PLANNING FOR EXCELLENCE IN PERFORMANCE) FORM

There are two versions of the Planning for Excellence in Performance (PEP) form: the short form or the long form. The short form simply presents behavioral competencies (part II) in a checklist format with an area for summary comments at the bottom. The long form provides space for defining each behavioral competency, identifying the accompanying behavioral indicators, and supplying specific narrative comments for each. Managers have the option to determine which form they would prefer to use. A copy of the form is available at the HR Resources Library: <http://www.montgomerycountymd.gov/content/ohr/ResourceLibrary/files/MLSFORM.doc>

EMPLOYEE INFORMATION		
Employee Name: Social Security No. Working Job Title:	Department: Division/Team:	
Supervisor Name(s):	Reviewing Official Name:	
Type of Evaluation ____ Evaluation ____ Interim	Review Period: From (date) to (date)	
DOCUMENTATION SIGNATURES		
Activity to be documented	Date	Signature
Performance Plan Finalized (Employee)		
Performance Plan Finalized (Supervisor)		
Mid Year Progress Discussion (Employee)		
Mid Year Progress Discussion (Supervisor)		
Evaluation Reviewed by Employee		
Evaluation Finalized by Supervisor		
Evaluation Reviewed by Reviewing Official		
OVERALL RATING		
<div> <div>____ Exceptional Performance</div> <div>____ Successful Performance</div> <div>____ Highly Successful Performance</div> <div>____ Does Not Meet Expectations</div> </div>		

Note for automated versions of this form: This form is in Word table format. Each row will expand as you type into it. Hit tab key when at the bottom of the row to create additional rows. All automated forms must be safeguarded or password protected from unauthorized viewing.

PERFORMANCE PLAN
PART 1: INDIVIDUAL, POSITION OR TEAM SPECIFIC EXPECTATIONS
<u>Plan Development</u> : This section should list the most critical outcomes/ results aligned goals and performance targets for this individual, position, or team. Clearly indicate which expectations will receive team ratings (as applicable). If feedback from non-supervisors will be obtained, describe the source and approach to obtaining and utilizing this information (as applicable). Serious corrective performance improvement issues may be addressed in a separate Work Improvement Plan
<u>Evaluation</u> : Ratings should be based on the degree to which the employee/team achieved or met the performance target. Narrative Comments are required for all ratings.
#1 (Mandatory for all supervisors) In support of effective human resources management and development of employees, all subordinates received timely performance evaluations, which accurately reflect their accomplishments and job related behaviors, consistent with departmental and MLS performance planning and evaluation procedures. Performance Targets: Number of on-time evaluations (equal to number of subordinates), Dept. head/supervisor concurrence of compliance with procedures, subordinates receive on going feedback.
Narrative Comments for #1
Rating: <input type="checkbox"/> Exceptional <input type="checkbox"/> Highly Successful <input type="checkbox"/> Successful <input type="checkbox"/> Does Not Meet Expectations
#2: (Mandatory for all managers with staffing responsibilities) In support of promoting a diverse workforce that is free from discrimination, and values all employees, diversity will be considered in staffing decisions, which respects differences as an asset to the organization, discrimination and harassment issues will be dealt with promptly, and employees will support the County's diversity programs. Performance Target: Work force is diverse, throughout the organization, including new hires and promotions. All discrimination and sexual harassment complaints are minimal; prompt/appropriate corrective action is taken when complaints are received; County employees are familiar with EEO related policies and procedures, and participate in mandatory training. All employees will have equal access to the same type of training during their evaluation period.
Narrative Comments #2
Rating: <input type="checkbox"/> Exceptional <input type="checkbox"/> Highly Successful <input type="checkbox"/> Successful <input type="checkbox"/> Does Not Meet Expectations
#3:
Narrative Comments
Rating: <input type="checkbox"/> Exceptional <input type="checkbox"/> Highly Successful <input type="checkbox"/> Successful <input type="checkbox"/> Does Not Meet Expectations
#4:
Narrative Comments
Rating: <input type="checkbox"/> Exceptional <input type="checkbox"/> Highly Successful <input type="checkbox"/> Successful <input type="checkbox"/> Does Not Meet Expectations
#5:
Narrative Comments
Rating: <input type="checkbox"/> Exceptional <input type="checkbox"/> Highly Successful <input type="checkbox"/> Successful <input type="checkbox"/> Does Not Meet Expectations
Hit tab key to create new boxes

PART 2: COMPETENCIES (Short Format- Use with Competency Dictionary)

The alternate Part 2 Expanded Format, which combines definitions and ratings, may be substituted for this page.

Plan Development: The following competencies apply to all MLS performance plans. Refer to the Competency dictionary for definitions and behavioral indicators. The competencies should be reviewed at the beginning of the review period.

Evaluation: An employee must consistently demonstrate the majority of the behavioral indicators to be rated as Effective Performance.

	Exceptional performance	Highly successful	Successful performance	Does not meet expectations
Customer Service Orientation				
Personal Accountability				
Organizational Commitment				
High Standards Of Excellence And Efficiency/Ensures High Value For Tax Dollars				
Balanced Risk Taking/Innovation				
Interpersonal Awareness				
Communication and Persuasion Skills				
Organizational Systems Awareness				
Teamwork, Cooperation & Collaboration				
Developing, Empowering And Supporting Employees				
Problem Solving				
Planning and Organizing				
Safe Work Environment				
Technical Expertise				
Add other competencies as needed				
Narrative Comments:				

CAREER DEVELOPMENT (REQUIRED)
Goal or Competency:
Year end Accomplishment Summary:

PROGRESS DISCUSSION NOTES
Supervisor:
Employee:

COMMENTS
Supervisor:
Employee:

<p>PART 2: COMPETENCIES (Optional Expanded Format) This format may be used as a substitute or a supplement to Short Format. (Equivalent to Competency Dictionary)</p>
<p><u>Plan Development</u>: The following competencies apply to all MLS performance plans. The competencies should be reviewed at the beginning of the review period.</p>
<p><u>Evaluation</u>: An employee must consistently demonstrate the majority of the behavioral indicators to be rated as Effective Performance.</p>
<p>CUSTOMER SERVICE ORIENTATION</p> <p>Customer Service Orientation implies a desire to help serve others, to discover and meet their needs. It means focusing one's efforts on the needs of the customer (both internal and external) and teaming with the customer to provide the most appropriate value-added services. Individuals who demonstrate this competency employ a proactive/intuitive approach to not only respond to the customer's needs, but also enhance the quality of the service or product.</p> <p>BEHAVIORAL INDICATORS:</p> <ul style="list-style-type: none"> Identifies internal/external customers and works to understand needs. Makes a personal commitment to enhance the quality of the services or products delivered to the customer and ensure that the customer's needs are met. Anticipates customer's needs and works to avoid potential problems.
<p>Narrative Feedback:</p>
<p>Rating: <input type="checkbox"/> Exceptional <input type="checkbox"/> Highly Successful <input type="checkbox"/> Successful <input type="checkbox"/> Does Not Meet Expectations</p>
<p>PERSONAL ACCOUNTABILITY</p> <p>Personal accountability is a belief in one's own capability to accomplish a task as well as the ability to follow through on its accomplishment. It is expressed by responding to increasingly challenging circumstances with confidence in one's decisions or options. It includes feeling comfortable with looking at oneself honestly and accepting accountability for one's actions. Personal accountability also includes self-managing behaviors such as good time and resource management, organization and prioritization of tasks, responsiveness, and balancing of multiple work demands.</p> <p>BEHAVIORAL INDICATORS:</p> <ul style="list-style-type: none"> Approaches new challenges with a confident, "can do" attitude. Is responsive and timely. Expresses what they think is correct even when it conflicts with those in a position of authority. Good use of time and resources. Holds self accountable when things go wrong and accepts full responsibility. Manages multiple competing priorities and demands
<p>Narrative Feedback:</p>
<p>Rating: <input type="checkbox"/> Exceptional <input type="checkbox"/> Highly Successful <input type="checkbox"/> Successful <input type="checkbox"/> Does Not Meet Expectations</p>

ORGANIZATIONAL COMMITMENT

Organizational Commitment is the ability and willingness to align one's own behavior, as well as the department's actions with the needs, priorities, goals, and ethical standards of the County. It involves acting in ways that promote organizational goals and may require a linkage of daily work to long-range strategies.

BEHAVIORAL INDICATORS:

- Understands the broad perspective as it relates to his or her job responsibilities.
- Makes choices and sets priorities to meet the County's needs, consistent with the County's mission and ethical standards.
- Makes decisions that benefit the County even if at first, others do not agree.

Narrative Feedback:

Rating:

___ Exceptional ___ Highly Successful ___ Successful ___ Does Not Meet Expectations

HIGH STANDARDS OF EXCELLENCE AND EFFICIENCY/ENSURES HIGH VALUE FOR TAX DOLLARS

High Standards of Excellence and Efficiency is feeling energized by doing things that result in observable or measurable improvements in the quality of a product or process. Personally seeks out ways to continuously improve processes to increase efficiency or improve the quality of the outcome. This often goes beyond that which is required by the task or assignment.

BEHAVIORAL INDICATORS:

- Makes optimum use of resources.
- Works to exceed existing standards for quality of work by doing far more than is required in the assignment or task.
- Continuously seeks and finds ways to make things work better or more efficiently.

Narrative Feedback:

Rating:

___ Exceptional ___ Highly Successful ___ Successful ___ Does Not Meet Expectations

BALANCED RISK TAKING/INNOVATION

Risk Taking/Innovation shows strong initiative to pursue challenging goals, and create new, innovative plans or procedures to attain desired results. Accomplishments are made by making significant investments in time and resources and by taking calculated, educated risks in the process.

BEHAVIORAL INDICATORS:

- Expresses wanting to do something new and different to improve performance.
- Takes calculated risks and invests time and resources in pursuing a novel idea or initiative.
- Makes County rules work within ethical standards in order to accomplish something important.

Narrative Feedback:

Rating:

___ Exceptional ___ Highly Successful ___ Successful ___ Does Not Meet Expectations

INTERPERSONAL AWARENESS

Interpersonal Awareness is the ability to notice, interpret, and anticipate other's concerns and feeling, and to communicate this awareness empathetically to others. It also includes the ability to accurately hear and understand the unspoken or partly expressed thoughts, feelings, and concerns of others. May include sensitivity to others when presenting ideas or implementing changes. Responses (verbal and non verbal) and reactions to others take this understanding into account.

BEHAVIORAL INDICATORS:

- Seeks to be "people-oriented," by focusing on the needs of others
- Notices, and accurately interprets what others are feeling, based on their choice of words, tone of voice, expressions, and other nonverbal behavior. Practices good listening skills.
- Recognizes the strengths and limitations of others and capitalizes on the strengths.
- Demonstrates an understanding of the reasons for others' behavior and values and utilizes individual differences.
- Finds non threatening ways to approach others about sensitive issues

Narrative Feedback:

Rating:

____ Exceptional ____ Highly Successful ____ Successful ____ Does Not Meet Expectations

COMMUNICATION AND PERSUASION SKILLS

Communication and Persuasion Skills are presenting information with the intention to inform, persuade, build consensus, or influence others in an ethical manner in order to get them to "buy-in" to or support one's agenda. It includes anticipating and appealing to the audience's concerns, goals, and style in order to link the benefits of one's position to the needs and interests of the audience. This factor also relates to the quality of oral and written communications.

BEHAVIORAL INDICATORS:

- Expresses ideas and thoughts concisely and clearly both verbally and in writing. Presents numerical data accurately and effectively.
- Selects and uses appropriate communication approach. Work is consistent with County and departmental protocols for communications
- Prepares for presentations with documentation and facts to support a position; offers several different arguments to persuade.
- In presenting own position, identifies the most important concerns/issues of others.
- Anticipates and prepares for how people will react to a position or idea.

Narrative Feedback:

Rating:

____ Exceptional ____ Highly Successful ____ Successful ____ Does Not Meet Expectations

ORGANIZATIONAL SYSTEMS AWARENESS

Organizational Systems Awareness is the ability to understand and learn the relationships in one's own or in other organizations. It is an understanding of how the "system" operates; who the key players are, and how these individuals can help or hinder in attaining goals.

BEHAVIORAL INDICATORS:

- Recognizes and/or uses the formal structure or hierarchy of an organization, (e.g., "chain of command") to accomplish objectives.
- Knows how to use informal structures or "behind-the-scenes" network (e.g., identifies key actors, decision-

<p>influences) to get things done.</p> <ul style="list-style-type: none"> Identifies and involves the key individuals who influence a decision or outcome.
<p>Narrative Feedback:</p>
<p>Rating: ____ Exceptional ____ Highly Successful ____ Successful ____ Does Not Meet Expectations</p>
<p>TEAMWORK, COOPERATION & COLLABORATION</p> <p>The Teamwork, Cooperation and Collaboration competency is facilitating and maintaining cooperative working relationships with peers, subordinates and managers. It is being part of a team, working together toward accomplishment of group goals and ultimately the County mission, as opposed to working separately or competitively.</p> <p>BEHAVIORAL INDICATORS:</p> <ul style="list-style-type: none"> Participates willingly - supports team decisions, is a "good team player," does one's share of the work. Genuinely values and encourages others' input and expertise, is willing to learn from others (including subordinates and peers). Encourages team commitment to County mission and works to support total organizational goals.
<p>Narrative Feedback:</p>
<p>Rating: ____ Exceptional ____ Highly Successful ____ Successful ____ Does Not Meet Expectations</p>
<p>DEVELOPING, EMPOWERING AND SUPPORTING EMPLOYEES</p> <p>Developing others is choosing to spend time improving and developing the abilities, skills, behavior, and performance of others. It means frequently and spontaneously taking time to coach others, providing honest feedback and assistance with tasks, and, where appropriate, providing career development opportunities to develop their competencies</p> <p>BEHAVIORAL INDICATORS:</p> <ul style="list-style-type: none"> Gives others specific, detailed feedback, both positive and developmental. Provides others with assignments or training to develop their abilities. Gives encouragement to motivate others and recognizes them for their accomplishments (e.g., career development opportunities, public acknowledgment).
<p>Narrative Feedback:</p>
<p>Rating: ____ Exceptional ____ Highly Successful ____ Successful ____ Does Not Meet Expectations</p>
<p>PROBLEM SOLVING</p> <p>Problem Solving involves seeking information from sources that others may not readily identify and creating consistency out of apparently unrelated and random pieces of information. Problem solving also requires perseverance in the face of obstacles such as lack of financial resources or resistance to an idea or repeating a process to move toward a goal or using different approaches until success is achieved.</p> <p>BEHAVIORAL INDICATORS:</p> <ul style="list-style-type: none"> Finds unique or unusual sources of information to help solve problems. Finds way to condense a large amount of information into a useful form. Sees connections or patterns and rapidly identifies key issues in a complex situation. Demonstrates commitment by taking persistent action to overcome an obstacle. Tries several alternative ways to successfully overcome a difficult obstacle.

Narrative Feedback:
Rating: ____ Exceptional ____ Highly Successful ____ Successful ____ Does Not Meet Expectations
<p>PLANNING AND ORGANIZING</p> <p>Planning and organizing involves setting priorities on a rational basis, and identifying time sequences, causal relationships, or if/then relationships accordingly. Planning also involves the ability to see the "big picture" and links short-term planning efforts to the entire County's long-range vision.</p> <p>BEHAVIORAL INDICATORS:</p> <ul style="list-style-type: none"> • Sets priorities with a sense of what is most important. • Analyzes situations logically and applies this knowledge to future plans. • Plans for the County's future by visualizing the "big picture" in terms of the County's long-range vision.
Narrative Feedback:
Rating: ____ Exceptional ____ Highly Successful ____ Successful ____ Does Not Meet Expectations
<p>SAFE WORK ENVIRONMENT</p> <p>Managers and supervisors are accountable for how they exercise their authority and responsibility to maintain a safe work environment. A safe work environment involves taking actions to ensure that employees and citizens are free from safety hazards by proactively identifying and addressing safety issues and concerns. This includes risks arising in the physical environment; arrangement of the work site, equipment and work processes; compliance with MOSH and applicable regulations and procedures; and taking appropriate steps to avoid or correct violations of safety procedures and regulations.</p> <p>BEHAVIORAL INDICATORS:</p> <ul style="list-style-type: none"> • Following a safety incident (e.g. an accident or near miss) investigates the situation, verifies the sequence of events that resulted in the incident; documents the incident; and takes actions to prevent reoccurrence. Works with the Safety and Health Assessment in Dept. of Finance as necessary. • Takes appropriate corrective, training, and/or disciplinary action for disregard of safety by subordinates. • Informs employees of applicable safety procedures and expectations. Arranges and/or supports training for employees on safety topics, procedures, etc. Ensures that mandatory training is conducted and/or attended. • Works collaboratively with employees to maintain a safe work place and is open to feedback from subordinates on safety concerns and suggestions. • Includes safety as a topic on the agenda of staff meetings and affirms his or her commitment to achieving safety excellence. Recognizes employees who demonstrate safe work practices. • Tracks the number of safety incidents and violations within the unit, and periodically assesses the workplace and work processes for potential hazards. • Enhances and maintains own knowledge of safety issues applicable to areas of responsibility.
Narrative Feedback
Rating: ____ Exceptional ____ Highly Successful ____ Successful ____ Does Not Meet Expectations

TECHNICAL EXPERTISE (General -County Procedures)

Technical Expertise includes the knowledge and application of the County's managerial processes and protocols, such as budgeting, resource allocation, and project planning. It includes holding oneself and others accountable for conducting business in accordance with the County's rules, regulations and ethical standards.

BEHAVIORAL INDICATORS:

- Understands and utilizes the County protocols to accomplish managerial duties.
- Conducts County business in accordance with the County's rules, regulations and ethical standards.
- Encourages others to embrace County rules, regulations and ethical standards by providing guidance on their

Narrative Feedback:

Rating:

☐ Exceptional ☐ Highly Successful ☐ Successful ☐ Does Not Meet Expectations**TECHNICAL EXPERTISE (Job Specific) (Optional)****Narrative Feedback**

Rating:

☐ Exceptional ☐ Highly Successful ☐ Successful ☐ Does Not Meet Expectations

Other competencies developed for this position:

Narrative Feedback

Rating:

☐ Exceptional ☐ Highly Successful ☐ Successful ☐ Does Not Meet Expectations

Hit tab to create new text boxes.

WHOM TO CALL?

Questions Related to:	Resource Person	Contact Info
Compensation Issues	Kavyonne (Kaye) Beckley Manager Classification and Compensation Team	Kaye.beckley@montgomerycountymd.gov 240 777 5000 240 777 5130 (fax)
Compensation issues, Passwords, and Login ID	Mani Persaud Human Resources Specialist Classification and Compensation Team	mani.persaud@montgomerycountymd.gov 240 777 5055 240 777 5130 (fax)
Performance Management	Elizabeth Habermann Human Resources Specialist Training and Organizational Development Team	Elizabeth.habermann@montgomerycountymd.gov 240 777 5066 240 777 5128 (fax)
	Alisha Gregory Human Resources Specialist Classification and Compensation Team	alisha.gregory@montgomerycountymd.gov 240 777 5089 240 777 5130 (fax)

